

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Carroll, Peter H.	2. Court or Organization U.S. Bankruptcy Court, Central District of California	3. Date of Report 03/30/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address United States Bankruptcy Court 1415 State Street, Suite 243 Santa Barbara, CA 93101		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Carroll, Peter H.

Date of Report

03/30/2018

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

INCOME

(yours, not spouse's)

1.

2.

3.

4.

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

1.

2.

3.

4.

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Carroll, Peter H.

Date of Report

03/30/2018

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

1.

2.

3.

4.

5.

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Carroll, Peter H.

Date of Report

03/30/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Time Share, Reno, NV		None			Sold	02/09/17	J	A	See Note # 1.
2. I.R.A. # 3B									
3. -- T. Rowe Price Media & Telecommunications		None			Sold	05/24/17	J	A	
4. -- T. Rowe Price U.S. Treasury Money Market	A	Dividend	L	T	Buy (add'l)	05/24/17	J		
5. I.R.A. # 4									
6. -- T. Rowe Price Capital Appreciation		None			Sold (part)	05/24/17	J	A	
7.					Sold	10/22/17	J	A	
8. -- T. Rowe Price U.S. Treasury Money Market	A	Dividend	L	T	Buy (add'l)	05/24/17	J		
9.					Redeemed (part)	05/24/17	K		
10.					Buy (add'l)	10/22/17	J		
11. Ally Bank									
12. -- C.D. # 1		None			Redeemed	10/06/17	J	A	
13. -- C.D. # 2		None			Redeemed	10/27/17	J	A	
14. -- C.D. # 3		None			Redeemed	11/12/17	J	A	
15. -- C.D. # 4		None			Redeemed	08/27/17	J	A	
16. -- Money Market	A	Interest	N	T	Buy (add'l)	11/29/17	N		
17. -- Savings Account	A	Interest	L	T	Buy (add'l)	10/06/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Carroll, Peter H.

Date of Report

03/30/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18.					Buy (add'l)	10/27/17	J		
19.					Buy (add'l)	11/12/17	J		
20.					Buy (add'l)	08/27/17	J		
21. Brokerage Account # 2									
22. -- T. Rowe Price Mid-Cap Growth	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Carroll, Peter H.

Date of Report

03/30/2018

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

1. Part VII, Line 1. On February 9, 2017, the Time Share in Reno, Nevada was sold to Plaza Resort Club in Reno, Nevada and title was conveyed by Grant, Bargain & Sale Deed recorded in Washoe County, Nevada on February 9, 2017.
2. Part VII, Line 3. On May 24, 2017, the remaining shares of T. Rowe Price Media & Telecommunications in I.R.A. # 3B were sold and the proceeds were used to buy additional shares of T. Rowe Price U.S. Treasury Money Market in I.R.A. # 3B.
3. Part VII, Line 6. On May 24, 2017, a portion of the shares in T. Rowe Price Capital Appreciation in I.R.A. # 4 was sold and the proceeds were used to buy additional shares of T. Rowe Price U.S. Treasury Money Market in I.R.A. # 4.
4. Part VII, Line 7. On October 22, 2017, the remaining shares in T. Rowe Price Capital Appreciation in I.R.A. # 4 were sold and the proceeds were used to buy additional shares of T. Rowe Price U.S. Treasury Money Market in I.R.A. # 4.
5. Part VII, Line 9. On May 24, 2017, a portion of the shares in T. Rowe Price U.S. Treasury Money Market was redeemed and the proceeds were deposited into the Ally Savings Account in two installments -- one on June 5, 2017 and the other on June 7, 2017.
6. Part VII, Line 12. On October 6, 2017, C.D. # 1 was redeemed and the proceeds were deposited into the Ally Savings Account.
7. Part VII, Line 13. On October 27, 2017, C.D. # 2 was redeemed and the proceeds were deposited into the Ally Savings Account.
8. Part VII, Line 14. On November 12, 2017, C.D. # 3 was redeemed and the proceeds were deposited into the Ally Savings Account.
9. Part VII, Line 15. On August 27, 2017, C.D. # 4 was redeemed and the proceeds were deposited into the Ally Savings Account.
10. Part VII, Line 16. On November 29, 2017, the net proceeds from the sale of our principal residence was deposited into the Ally Money Market Account pending the purchase of a new home.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Carroll, Peter H.

Date of Report

03/30/2018

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Peter H. Carroll**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544